

DEPARTMENT OF THE TREASURY
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

PERMITS ONLINE

Customer User Guide and Tips



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What is Permits Online?

Permits Online (PONL) is a secure, web-based system that will facilitate and streamline the online submission, routing, and internal processing of Original and Amended applications to the Alcohol and Tobacco Tax and Trade Bureau (TTB). PONL users apply by answering a series of questions and PONL completes the necessary TTB forms. Customers receive automated email notification of application status changes from start to finish. Applicants will find step-by-step guidance within each application section and specific field-by-field help.

Self-Registration

PONL has a self-registration feature which allows users to register online. Just click on the “Register For An Account” link in the top-right corner of the PONL Home Page. Registered users may create new applications, and track the progress of submitted applications. Be sure to notate your username and password so that you can successfully login to the system.

Your password must meet the following requirements:

- Minimum of 8 characters
- Must contain each of the following:
 - At least 1 upper-case letter (A, B, C, . . .)
 - At least 1 number (1, 2, 3, . . .)
 - At least 1 special character except for ‘, “, _ , = , & , @
- Must **not** contain the following:
 - Your user ID
 - The following characters: ‘, “, _ , = , & , @
- Cannot start with a number or special character
- Cannot be any of your previous 10 password(s)
- Cannot be a password that you have used in the last 48 hours

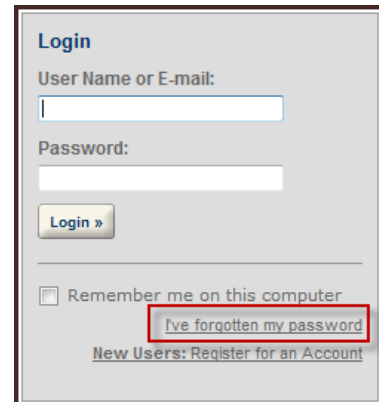
Important! Be sure to use a valid email address when completing the Contact information. You will receive an email at that address which contains the information necessary to activate

your account. If you are unable to access the initial registration email you will not be able to complete your registration.

Forgotten UserName and/or Password

If you forget your password, select the link, “I’ve forgotten my password” and correctly answer the security questions. Permits Online will send you an email with a reset password. Log in using the emailed password, and immediately change your password.

If you forget your User Name, log in using the email address that you used to set up your account. You will see your User Name on the next screen.



Applications Currently Available for Electronic Submission through Permits Online

Click here for a [description of application types](#) currently available for electronic submission through PONL. Applications for other TTB regulated business operations will be available in the future. If you are applying for an application that is not currently available please click here <http://www.ttb.gov/applications/index.shtml> for application information.

Before starting one of the commodity (winery, wholesaler, brewery, etc.) applications, complete an Application for Owner and Officer Information (OOI) for EACH of the following persons related to the applicant business:

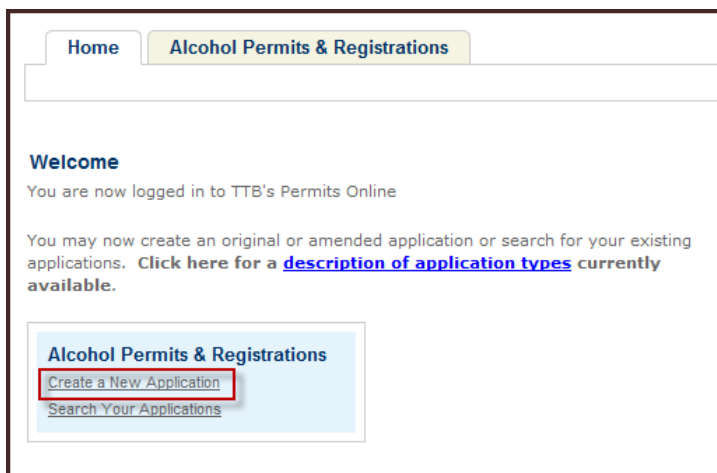
- Owner • Partner • Director • Member • Managing Member
- Stockholder/Interestholder of 10% or more stock/interest in the business

The Owner Officer Information must be completed for all Officers, Directors, Members, Managing Members. Also for Stockholders/Interest holders that have 10% or more stock/interest.

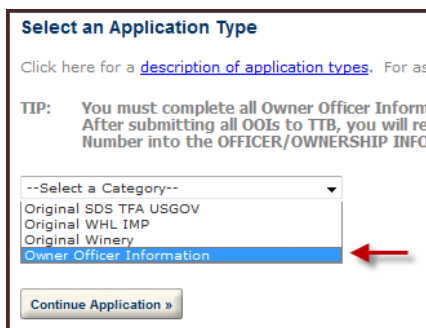
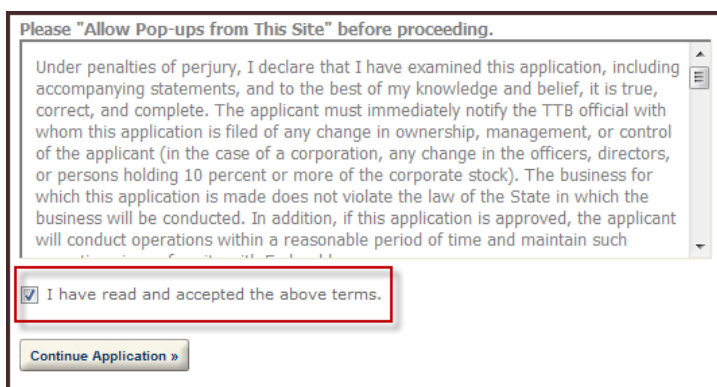
Each of these individuals may create an account, log into Permits Online, complete their own OOI application, and provide the resulting OOI Tracking Number to the person filing the commodity Application.

Completing an Application for Owner and Officer Information (OOI)

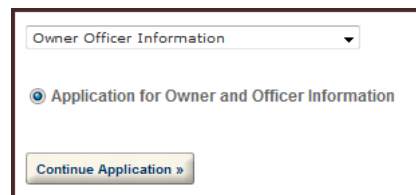
Step 1: Log in and Select 'Create a New Application' from your home window



Step 2: Select the checkbox accepting the penalties of perjury statement, and select the **Continue Application** button.



Step 3: Select 'Owner Officer Information' from the dropdown menu, and select the **Continue Application** button. Complete the entire application.



PONL will generate a unique OOI Tracking Number for each one. You will need these OOI Tracking Numbers during the application process. For applicants who are familiar with TTB forms, this application replaces certain questions on Form 5000.9, Personnel Questionnaire, as well as questions found on other TTB forms.

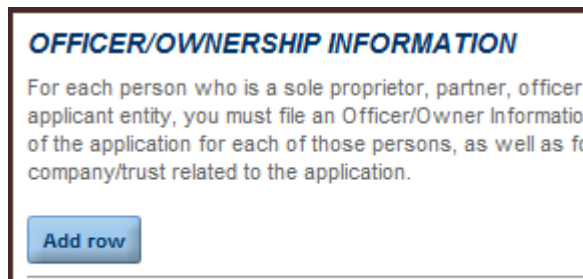
Inserting the OOI Tracking Number in the Commodity Application

Step 1: Insert the OOI Tracking Number in **Step 2** of the original application process.



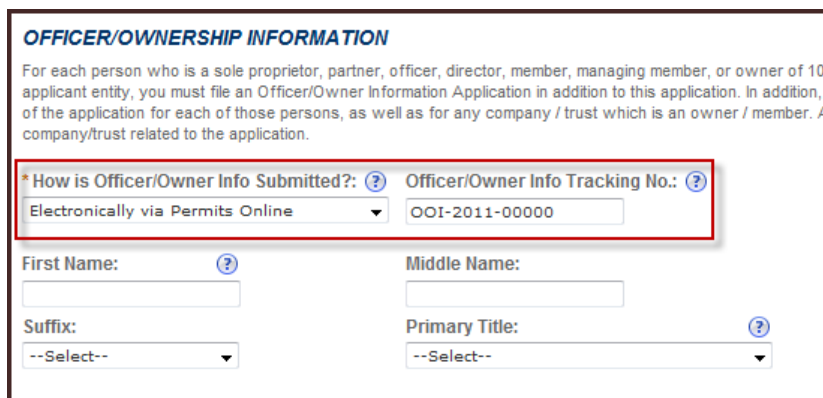
The screenshot shows a progress bar with four steps: 1. Contacts & Location, 2. Application Information, 3. Business Information, and 4. Summary. Step 2 is highlighted in blue. Below the progress bar, the text reads: "Step 2 : Application Information > Officer-Owner Information".

Step 2: In the **Officer/Ownership Information** section, select the 'Add row' button.



The screenshot shows the "OFFICER/OWNERSHIP INFORMATION" section. It contains a paragraph of text explaining the requirement to file an Officer/Owner Information Application for each person and company/trust related to the application. Below the text is a blue button labeled "Add row".

Step 3: Select 'Electronically via Permits Online' from the dropdown, and enter the OOI Tracking Number in the **Officer/Owner Info Tracking No.:** field and continue until completed.



The screenshot shows the "OFFICER/OWNERSHIP INFORMATION" form. It contains a paragraph of text explaining the requirement to file an Officer/Owner Information Application for each person and company/trust related to the application. Below the text is a red-bordered box containing two fields: "How is Officer/Owner Info Submitted?:" with a dropdown menu showing "Electronically via Permits Online", and "Officer/Owner Info Tracking No.:" with a text input field containing "OOI-2011-00000". Below the red box are four fields: "First Name:", "Middle Name:", "Suffix:", and "Primary Title:", each with a text input field and a question mark icon.

Be prepared to identify whether or not the 'person' is a Company, Individual or a Trust; provide their full name (no abbreviation); their primary title and additional titles with the applicant business; duties they will perform for the applicant business; percentage of voting stock or interest; the amount invested in the applicant business, if any; the source of those funds; and the method used to submit the source of funds documentation.

Add a row for each owner, officers, directors, members, managing members, and each stockholders/interest holders of 10% or more stock/interest. Failure to do so will delay your application.


Required Attachments

For each Original Application, a combination of application type (Winery, Wholesaler/Importer, etc) and business entity type (Corporation, LLC, Sole Proprietorship, Partnership) determines which attachments are required in addition to your online application.

Other documents may be required depending on your proposed operations. Based on answers you provide within your application the system will auto-populate a line item in the Statements and Documents section for each of the Required Attachments needed for your application type. You will need to select the method of submission from a dropdown list for each of these documents (upload, fax or mail). TTB may consider an application incomplete and abandon it if these required attachments are not received within 30 days of submitting your application. To prevent this action, ensure all Required Attachments listed in the Statements and Documents section of your application are submitted to TTB in a timely manner. Click [here](#) for a detailed description of each Document Type. **You must submit bond forms, Change of Bond (Consent of Surety) Forms, and Power of Attorney Forms by mail, if they are required.**

During the application process, you will have the opportunity to upload an electronic copy of all other required documents. If you are unable to upload the attachments, you may submit them by mail or fax. Please note that this may delay the processing of your application.


Once you submit an application, a page will be shown acknowledging that the application has been successfully submitted and directing you to print out a **Cover Sheet**. This Cover Sheet uses the information you provided in the Statements and Documents section and will assist you if you will be mailing or faxing any of the required documents. If you fail to print out your Cover Sheet upon submission, you may also access it later. To access and print the Cover Sheet after you have submitted the application and left the submission acknowledgment page, follow these steps:

- Login to Permits Online
- Use the “Search Your Applications” button to find your application
- Click on the underlined application tracking number
- Click on the Print Cover Sheet button  if one appears OR click on the “Reports” button at the top of the screen and choose the TTB Cover Sheet for the type of application you have filed
- You may view, print, or save the document

General Help

At the top of every page in the application information section, there is general guidance that will explain the reason for the requested information and supply useful guidance on completing the associated fields. Read this help and follow the instructions provided.

Help Buttons

Throughout each application, there are numerous Help Buttons represented by a Question Mark inside a circle -  **Select these buttons for field-specific instructions and guidance.** This help can assist you in avoiding routine mistakes. Submitting an accurate and complete application helps us process your application in the most efficient and timely manner possible. Read this help and follow the instructions provided.

Navigation

Do not use the back button. If you need to edit something from a previous page, you will have the opportunity to do so at the end of the application, prior to submission.

System Timeout

There is a fifteen (15) minute inactivity timeout. Permits Online does not automatically save your work before implementing the inactivity timeout, so you will lose any information you have not saved if you are inactive for more than fifteen minutes. If you will be away or inactive for 15 minutes or more, please use the system’s “Save and Resume Later” feature.

Foreign Place of Birth

If you are completing an Application for Owner Officer Information and were born in another country, please enter both the city and country of your birth in the “Place of Birth City” field and then choose FR (for “foreign”) in the “Place of Birth State” field.

Application Contacts and Addresses

Within various PONL applications, there are five different types of Application Contacts, which identify addresses and primary contact persons associated with each application.

- **Officer-Owner** – This contact refers to an owner or officer of an applicant company. This contact information is provided in the Application for Owner Officer Information.
- **Application Contact** - This contact is the primary person with whom TTB will discuss application information and who will receive email notifications from TTB about the submitted application. This may be a consultant or an owner, officer, or other employee representing the applicant company.
- **Business Headquarters** - This contact includes information about the primary person within the applicant company with whom TTB will, if necessary, conduct a phone interview about the proposed operations.
 - This contact must submit a legible photocopy of the driver’s license or other official State ID card as an attachment if this is an original application or a change of proprietorship.
 - This person must have signing authority on behalf of the applicant business, and cannot be a consultant.

In this section, you will also provide the applicant’s official company name and Employer Identification Number. If the applicant company is a corporation or limited liability company, enter its name exactly as it appears on the organizational documents registered with the State, including punctuation and any abbreviations.

- **Mailing Address** – This contact includes information about the address where you would like to receive your mail from TTB.
- **Premises Address** – This contact includes information about the address where the proposed operations will take place.

In many cases, these contacts and addresses will be the same, and the option for auto-fill is available in some instances. The auto-fill option uses the information from your PONL user registration.

Adding Additional Application Contacts

If you wish to have more than one person shown as an Application Contact and be able to access the electronic applications submitted through PONL, you must call the PONL Toll-Free Line at 1-855-882-7665 (1-855-TTB-PONL) and choose the option for adding additional Application Contacts.

Required Fields and Non-Applicable Fields

Within each application, there are required fields which you must complete. These required fields are marked with a red asterisk *. Certain fields can become “required” based on your answers to previous questions. Likewise, certain questions will become unavailable, or “grayed out” based on your answers to previous questions.

Be sure to read the general help for each application information section, as some sections may not be required based on your proposed operations. This is especially true of the “Application Tables” page of the Application for Owner Officer Information.

Tracking Numbers

PONL generates several types of tracking numbers.

If you begin an application and save it prior to submission, you will receive a Temporary Tracking Number. You may reopen the application, and complete and submit it at a later time. An example of a Temporary Tracking Number is **2010TMP-003245**.

Once an application has been submitted, you will receive an email providing you with an Initial Tracking Number. If you previously received a Temporary Tracking Number by saving an incomplete application, that number is no longer valid once the application is submitted. An example of an Initial Tracking Number is **IW-2010-00165**.

The **IW** stands for Importer/Wholesaler. In this example, a customer completed a New Importer/Wholesaler (IW) application, and could have applied for approval to become an importer, a wholesaler, or both.

For some submissions, including most original applications, you will receive a second email providing you with one or more new Application Tracking Numbers after TTB initially reviews the application and accepts it as complete enough for further processing. Examples of Application Tracking Numbers include **2010-IMP-00248-O** and **2010-WHL-00317-O**.

In this example, the customer applied for both an importer and a wholesaler's Basic Permit, and the Initial Application was separated into two individual applications. If you received one or more Application Tracking Numbers, they replace the Initial Tracking Number and the Initial Tracking Number is no longer needed.

For an Application for Owner and Officer Information, as well as most Amendments, the Initial Tracking Number you receive is also your Application Tracking Number.

You may check the status of your application 7 days a week, 24 hours a day using these tracking numbers.

Samples of Tracking Numbers

OOI-2011-00000 Owner or Officer Information Application Tracking Number	(Is associated with the related commodity application)		
2010TMP-003245 Temporary Application Tracking Number	(Is replaced by the commodity application after it is submitted)		
IW-2011-00000 Parent Importer/Wholesaler Application Tracking Number	2011-IMP-00000-O Child Importer Original Application Tracking Number	2011-WHL-00000-O Child Wholesaler Original Application Tracking Number	

TF-2011-00000 Parent Tax-free Alcohol User Application Tracking Number	2011-TFA-00000-O Child Tax-free Alcohol User Original Application Tracking Number	
SU-2010-00165 Parent Specially Denatured Spirits User Application Tracking Number	2010-SDSU-00248-O Child Specially Denatured Spirits User Original Application Tracking Number	
SD-2010-00165 Parent Specially Denatured Spirits Dealer Application Tracking Number	2010-SDSD-00248-O Child Specially Denatured Spirits Dealer Original Application Tracking Number	
US-2010-00165 Parent United States Government Application Tracking Number	2010-USTFA-00248-O Child United States Government Tax-free Alcohol User Original Application Tracking Number	2010-USSDS-00248-O Child United States Government Specially Denatured Spirits User Original Application Tracking Number

Save and Resume Later

While completing an application in PONL, you may choose to click “Save and Resume Later” in the bottom right-hand corner of the page, if you run out of time or find that you don’t have all of the information necessary to complete the application at that time.

The “Save and Resume Later” option works only if you have completed all of the required fields (and related information sections and tables) up to the point where you leave the application. Once you click “Save and Resume Later”, you will be taken to the “Search For Applications” screen. The application (with a Temporary Tracking Number) at the top of the page will be the

application you just saved for later completion. Write down the Temporary Tracking Number of that application.

To resume the application later, you must select “Search Your Applications” from the Permits Online Home page. Next, select “Resume Application” at the end of the row for the correct Temporary Tracking Number. The system will take you to the first page of the application. You must select “Continue Application” to page through to the page where you left the application so you can continue completing the application information.

Communication from TTB

TTB will email you at various steps in the application process. These emails will contain status updates and communicate actions you must take before we can continue to process your application. Status changes may include, “Received”, “Incomplete”, “Pending”, “Review in Progress”, “Abandoned”, “Withdrawn”, “Denied”, or “Approved”. In certain instances, you must log into Permits Online to view additional information such as comments or instructions.

Comments will be sent to you (if applicable) which pertain to missing required documentation (Initial Review), application data that we corrected (Specialist Review), or specific instructions or limitations regarding an approval or denial of your application (Manager Disposition). To view these additional Comments about your application, use the following steps:

- Login to Permits Online
- Use the “Search Your Applications” button to find your application
- Click on the application tracking number
- Click on the arrow next to the Status bar
- Click on the arrow button next to either “Initial Review”, “Specialist Review”, or “Manager Disposition”
- Click on the plus sign (+) box next to one of the above categories to reveal the specific comments

TTB may attach certain documents to your application after its final disposition. This may include an approval letter, permit, registration, and other approval documents (as applicable)

or information regarding a denial, withdrawal, or abandonment. To access these documents, click on the arrow next to Supporting Documents and Attachments. Then, click on the name of the document, and select “Open” to view, print, or save the TTB attachment.

Collections

If you file multiple applications within PONL, you may choose to organize their applications using a feature called ‘Collections’. This will be especially useful if you are a consultant or if your company has multiple regulated operations or locations. Once you have created more than one application, you may create Collections.

After selecting “Search Your Applications” from the Home screen, select the boxes next to the applications you wish to organize together in a collection and then click “Add To Collection”. You may either create a new Collection or choose an existing Collection.

After your collection is created you may select the “Collections” button at the top of the screen, to open a collection folder and review all of the applications within that Collection. Please note, however, that all applications remain in the primary Records list even if they have also been selected as part of a Collection. There is no limit to the number of Collection folders you can create.

Viewing Your Application Data and Attachments

To view your application data and attachments after you have submitted the application or after you have saved the application prior to submission, you will need to login, use the “Search Your Applications” button to find your application, and then click on the tracking number of the application.

First click on the arrow next to View Details within the “Record/Application Details” section. You may then open various subsections of your application by clicking on the plus sign (+) next to each subsection.

To access and view any documents you have attached to your application, click on the arrow next to Supporting Documents and Attachments. Click on the name of the document and select “Open” to view the attachment.

To see the tracking numbers of any other applications (Initial Application, official Commodity-Specific Application, or Application for Owner Officer Information) related to the one you have selected, click on the arrow next to Related Records/Applications. You can switch to one of those related applications by clicking on View to the right of the application.

Recreating Application Data on TTB Forms

You may view your information as completed TTB forms. To do this, select “Search Your Applications” from the PONL Home screen. Then, select the Tracking Number of the application you wish to open and view.

Next, click the “Reports” button at the top of the screen and select the form which you wish to complete. Please note that forms for all applications, including those forms not applicable to your application, are available in this list. If you select a form that does not apply to your application, it will appear blank.

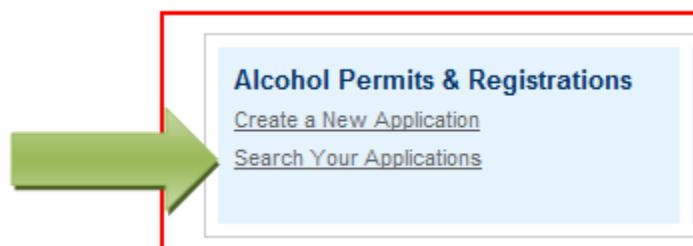
Please note that at this time, some forms such as all bond forms, TTB Form 5000.18, Change of Bond (Consent of Surety), and TTB Form 5000.8, Power of Attorney, must be submitted with original signatures by mail.

However, you can create partially completed versions of these forms by completing the online application first and then accessing them and printing them from this screen. Also, certain forms which contain personnel data such as Date of Birth and Social Security Number aren’t available for recreation for privacy reasons. These include TTB Form 5000.9, Personnel Questionnaire, and TTB Form 5100.24, Application for Basic Permit.

Copy your application?

If your application has been Abandoned or withdrawn you may use the “Copy Feature” within Permits Online to duplicate the application you originally submitted. This feature affords you the opportunity to review the application and make any necessary edits before submittal. To “Copy” your application, Log in to Permits Online and follow the general steps below:

- Use the “Search Your Applications” button to find your application



- Place a “checkmark” in the box next to the application tracking number you wish to Copy and then click the “Copy Record” link. **NOTE: You can only copy the “Initial Tracking Number” application, not the Tracking Number TTB gave you after Acceptance of your Initial Application.**




- You will see a screen showing sections of the application that will be duplicated. If you do not wish certain sections to be copied, simply remove the checkmark in the appropriate box and click the “Copy” button.

Copy Record

Available Sections (Information in the checked sections will be copied.)

<input checked="" type="checkbox"/> Address	<input checked="" type="checkbox"/> Application-Specific Information
<input type="checkbox"/> Parcel	<input checked="" type="checkbox"/> Application-Specific Information Tables
<input type="checkbox"/> Owner	<input type="checkbox"/> Education
<input type="checkbox"/> Licensed Professionals	<input type="checkbox"/> Continuing Education
<input checked="" type="checkbox"/> Contacts	<input type="checkbox"/> Examination
<input type="checkbox"/> Detail Information	<input type="checkbox"/> Valuation Calculator
<input type="checkbox"/> Additional Information	

Please verify all information on the new record before submitting it.

 [Cancel](#)

- You will then be presented with the application information. You should review each page presented to you for accuracy and make any necessary edits. Click the “Continue Application” button at the bottom of each page of the application. **NOTE: You will be required to select a Method of Submission for each document listed in the “Statements and Documents” section.**


STATEMENTS AND DOCUMENTS

Based on the answers that you have provided, TTB has compiled a list of supporting documents that you **MUST** submit in conjunction with this application. You **MUST** address EACH line item below by identifying how you will submit each document to TTB. **EVERY** document identified below must be received within 15 working days from the date you **SUBMIT** this application to TTB otherwise your application will be **ABANDONED**.

Hint: If you are submitting multiple versions of the same document (ex. POA for more than one individual) please use the **COMMENTS** field to provide a description to differentiate each document.

WARNING: Any information added within this Section will **NOT** be saved if you place the application in a Save and Resume Status. Therefore, we recommend you to wait to complete this section until you are ready to submit the application.

Contact TTB for more information or support about this section @ 1-855-TTB-PONL (1-855-882-7665) M-F 8am - 4pm EST.

* Document Type: 	Document Type if Other: 	Comments: 
Copy of Drivers License or Official State ID Ca ▼	<input type="text"/>	<div><div></div></div>
<hr/>		
* Method of Submission: 	Permit, Registry or Tracking Number if on file with TTB: 	
--Select-- ▼	<input type="text"/>	

- After completing the “Statements and Documents” section, you will have the opportunity to review the application information one last time. After you have ensured the application contains accurate information click the “Continue Application” button. You will immediately receive an email stating TTB has received your application and be given an Application Tracking Number. You will also be presented a “Warning box” as below alerting you to print your cover sheet containing your Application Tracking Number to include with any additional required documents to be mailed or faxed to TTB.

Step 5 : Record Submittal



STOP! PRINT YOUR APPLICATION COVER SHEET USING THE BUTTON BELOW.

You have successfully submitted a Permits Online application to TTB, but your application may not be complete. Please use the application Cover Sheet to determine if all required supporting documents have been provided. In addition, please use the Cover Sheet if you are planning to mail or fax additional supporting documents to TTB.

TTB will consider your application abandoned after fifteen business days if all required supporting documents are not received.

Thank you for using TTB's Permits Online.
Your Tracking Number is WN-2013-00014.

You will need this number to check the status of your application. You will be notified via email that we have received your application. If you do not receive an email acknowledging receipt within 24 hours, please contact TTB at 1-855-TTB-PONL.

Exceptions

Due to certain system limitations, there are a few restrictions on what can be filed using PONL. For instance, an amendment for a Change in Location from one state to another state cannot be processed through Permits Online. Customers should file an original application for the appropriate commodity instead.

Permits Online (PONL)

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550 Main Street
Suite 8002
Cincinnati, OH 45202-5215

Phone: 1-855-882-7665

(1-855-TTB-PONL)

Fax: 202-453-2989

E-mail: permits.online@ttb.gov

